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AUTHOR Stoner, Jesse
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ABSTRACT

This training module, one of four designed to help train people in effective leadership, provides materials suitable for an all-day workshop, two half-days, or a series of shorter sessions. Six activities help to describe the practices and lessons of well-managed companies. These include: (1) Managing vs. Lending; (2) Characteristics of Exceptional Leaders; (3) What Business Are You Really In?; (4) Upside Down Organizational Structure; (5) Creating a Vision for Your School; and (6) Action Planning. The objective of the workshop is to distinguish between management and leadership, to identify characteristics of outstanding organizations, and to identify how current business literature applies to leadership. Reproduction of discussion aids and other support materials for overhead projection is suggested. This training module guides but does not dictate any particular method of presentation. (LAP)

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The School Improvement Leader

Four Perspectives on Change in Schools

Lessons from the Business Literature

Jesse Stoner

U.S. DEPARTMENT OF EDUCATION
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Foreword

The School Improvement Leader: Four Perspectives on Change in Schools is a set of four training modules. Each module covers a particular aspect of effective leadership. Topics include:

- Coaching Secrets for School Leaders
- Lessons from the Business Literature
- The Role of Teams in Implementing School Improvement Plans
- Making Sure It Sticks: The School Improvement Leader's Role in Institutionalizing Change

The modules are designed to complement and build on one another, so there is a minimum amount of overlap between them. Yet each can stand alone if a trainer wishes to focus on a single aspect of leadership at any one time.

We've strived for a combination of theory and practice, so that workshop participants gain a data-based knowledge on which to build before they apply learnings. Each unit contains at least one brief reading that synthesizes the research on that topic. A master copy suitable for reproduction is provided for every reading, and we recommend that participants be provided with copies of these readings before, during, or at the conclusion of each unit.

It is anticipated that each module will take six to eight hours to complete—this might be in a full-day workshop, two half-day workshops, or a series of shorter sessions. We've provided a variety of support materials to accommodate trainers' various presentation/ facilitation styles and time constraints. Support materials include discussion aids that can be reproduced for overhead projection, single-page handouts, or transfer to a flipchart. Trainers' instructions guide clearly but do not dictate any particular method of presentation.

Taken together or as individual professional development modules, the four research-based programs represent timely and useful frameworks for strengthening leadership for school improvement.

Contents

Lessons from the Business Literature

Introduction	Workshop Purpose and Objectives
Activity 1	Managing versus Leading
Activity 2	Characteristics of Exceptional Leaders
Activity 3	What Business Are You (Really) In?
Activity 4	Upside Down Organizational Structure
Activity 5	Creating a Vision for Your School
Activity 6	Action Planning

Introduction

Lessons from the Business Literature

Module Purpose and Objectives

The purpose of this module is to provide opportunities for educational leaders to consider—and apply to schools where appropriate—the practices and lessons of well-managed companies.

The module is self-explanatory and can be facilitated by a trainer without prior knowledge of the business literature. It is divided into six activities in addition to this introduction. For each activity, the trainer will find suggestions for organizing the activity as well as master pages suitable for reproducing for overhead transparency projection, participant handouts, or for transfer to newsprint or other large pad. In addition, several activities have masters for handouts that are meant to be used by small groups or by individual participants, and participants will also need writing pads.

The materials in this packet are suitable for an all-day workshop, two half-days, or a series of shorter sessions. Although the activities build on each other, they can stand alone, and the trainer may select some activities and omit others if a shorter workshop is called for.

After an appropriate warmup activity, the workshop leader should share with participants the workshop objectives (listed below and on overhead 1).

Objectives of the workshop are for participants to be able to:

- Distinguish between management and leadership
- Identify characteristics of outstanding organizations
- Identify how the current business literature applies to school leadership

Ideas That Can Be Woven Into a Workshop Introduction

Educational leaders operate in one of the most complex institutional contexts of our society, and the call for more and better leaders is as profound in that sector as in any other. The educational research and development field has provided many useful insights, resources, and recommendations, but educators may also gain something by studying the knowledge produced in the private sector.

The task of applying the business literature to education is a challenging one. Though schools and business are similar in many ways (e.g., goal and outcome orientation, complicated internal human dynamics, and heavy reliance on the quality and transfer of information), some fundamental differences between them affect not only their leadership needs, but the appropriateness and transferability of certain behaviors and techniques. Among the ways schools fundamentally differ from business are the complexity and subtlety of the educational process, schools' responsibility to be educators as well as guardians of their students, and the ever multiplying goals and outcomes that society expects of schools.

Furthermore, it is difficult to capture what is more a shift in attitude than in behavior. In trying to apply business learnings, one runs the risk of misusing them by, for example, adopting a single behavior or technique out of context in an effort to make quick changes.

With these challenges and caveats in mind, this workshop presents some of the most recent trends in the business literature that have implications for the school improvement leader.

The following pages also provide

- An outline of the entire module and
- a sample evaluation form for participants to complete at the close of the workshop.

The article "Synthesis of the Business Research and Literature" is an overview that provides much of the focus for Activities 1-6. It is provided as the master for a handout so that participants can refer to it throughout the workshop. The trainer may choose to provide it to participants before the workshop convenes or to allow time at the beginning of the workshop for participants to read and discuss it.

Although the time spent on each activity will vary according to the facilitator's and participants' interests and previous knowledge and experience, we provide the following time estimates as a general guide.

Activity	Time in Minutes
Introduction	20-30
Activity 1	40-85
Activity 2	50-80
Activity 3	20-30
Activity 4	30-45
Activity 5	50-65
Activity 6	30-40
	240-375

The wide variation in time estimates allows for reading time during the workshop session as well as optional steps within some activities.

Workshop Objectives

Lessons from the Business Literature

- **To distinguish between management and leadership**
- **To identify characteristics of outstanding organizations**
- **To identify how the current business literature applies to school leadership**

Module Outline

Introduction

1. Managing versus Leading

2. Characteristics of Exceptional Leaders

3. What Business Are You (Really) In?

4. Upside Down Organizational Structure

5. Creating a Vision for Your School

6. Action Planning

Lessons from the Business Literature

— Response form—

We would appreciate your taking a few minutes to complete this questionnaire about this workshop. Your honest feedback helps us plan future programs.

1. In general how would you rate this workshop?

Poor		Okay		Excellent
1	2	3	4	5

2. Was the information relevant to your needs?

Off the mark		Somewhat		On Target
1	2	3	4	5

3. The organization and presentation of the sessions were:

Confusing		Okay		Clear
1	2	3	4	5

4. Through this workshop I gained: *(please circle)*

Practices Materials Programs Contacts Ideas

5. How do you intend to use what you've learned?

6. What was the best thing about the workshop?

7. What was the least helpful?

8. Additional comments:

Thank you for your feedback.

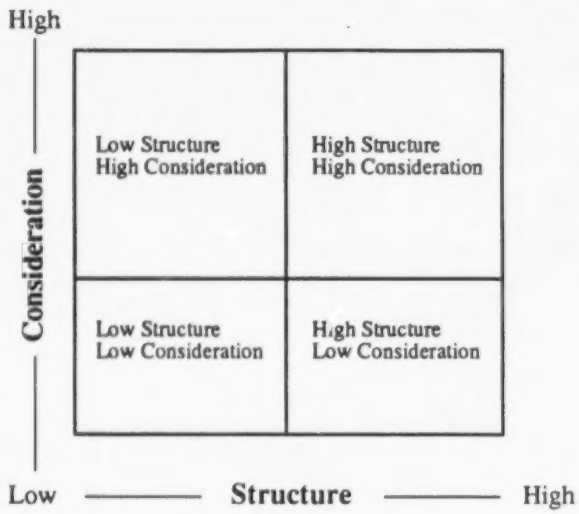
Synthesis of the Business Research and Literature

History of Leadership Models

Early attempts to study and influence organizational performance began with the practice of "scientific management," where people were viewed almost as if they were machines. Theories and intervention techniques based on the work of Fredrick Taylor (1911) focused on how to structure tasks for maximum efficiency. Techniques for improving performance centered on skill development without regard for the workers' attitudes or social relationships.

A change in perspective on leadership was heralded by studies conducted during the 1940s and 1950s at Ohio State University under the direction of Ralph Stogdill. These studies originally identified the two dimensions of leader behavior as "initiating structure" (behavior related to accomplishing tasks) and "consideration" (behavior related to developing relationships with and among subordinates). These two dimensions create four categories of leader behavior shown in the accompanying diagram.

Further research (Bowers and Seashore, University of Michigan, 1966; Rensis Likert, University of Michigan, 1961) supported the concept that leadership that attends to both skills and attitudes results in improved performance in organizations.



Results of these studies led to two-dimensional models of leadership that address the variables of task behavior (structure) and relationship behavior (consideration). An example is the "managerial grid" popularized by Blake and Mouton in 1964. These research studies also gave rise to contingency models that suggest that the best leadership style is contingent upon certain conditions or elements within the organization. An example of a contingency model is "Situational Leadership" developed by Paul Hersey and Kenneth Blanchard in 1969.

Berlew (1974) credits these two-dimensional models as having brought about most of the advances in organizational theory and management practice that are operating at present. He states that although these advances have been substantial and have led, in most cases, to healthier, more effective organizations, there exists another stage that moves beyond "satisfaction" toward "excitement." He contends that the managerial models did not anticipate a time when "people would not be fulfilled even when they were treated with respect, were productive, and derived achievement satisfaction from their jobs.

Berlew describes leadership theory as having moved from Stage 1 (Scientific Management) to Stage 2 (Two-Dimensional Management) and now into a Stage 3, which he calls "Charismatic Leadership." Others call it "Visionary Leadership" or "Transformational Leadership." He describes three leader attributes that provide meaning to work and generate organizational excitement. These are:

1) **Vision.** The development of a "common vision" for the organization related to values shared by the organization's members.
2) **Structure.** The creation of value-related activities within the framework of the mission and goals of the organization.
3) **Empowerment.** Making organization members feel stronger and more in control of their own destinies, both individually and collectively.

The three stages are described in the figure that follows as they relate to the type of worker attitude they create, the worker needs they address, and the historical improvements each brought.

Organizational Emotions and Modes of Leadership
Berlew (1974)

	Stage 1	Stage 2	Stage 3
Emotional Tone:	Anger or Resentment → Neutrality	→ Satisfaction	→ Excitement
Leadership Mode:	CUSTODIAL	MANAGERIAL	CHARISMATIC
Focal Needs or Values:	Food Shelter Security Fair Treatment Human Dignity	Membership Achievement Recognition	Meaningful Work Self-Reliance Community Excellence Service Social Responsibility
Focal Changes or Improvements:	Working Conditions Compensation Fringe Benefits Equal Opportunity Decent Supervision Grievance Procedures	Job Enrichment Job Enlargement Job Rotation Participative Management Effective Supervision Management by Objectives	Common Vision Value-Related Opportunities and Activities Supervision That Strengthens Subordinates

Leadership vs. Management

In the 1950s a distinction began to be made between managers and leaders. Stage 2 behaviors were attributed to managers. Stage 3 behaviors were attributed to leaders. In 1977, Abraham Zaleznik wrote a classic article for the *Harvard Business Review* about these distinctions called "Managers and Leaders: Are They Different?" There appears to be not only agreement that they are different but also that it is better to be a leader than a manager. Bennis and Nanus (1985) wrote:

> Managers are people who do things right and leaders are people who do the right thing. The difference may be summarized as activities of vision and judgment (effectiveness) versus activities of routine (efficiency).

Rosabeth Moss Kanter, in her popular book *The Change Masters* (1983), contrasts the differences between leaders and managers.

Leader (Change Master)	Manager
Articulates direction; creates a vision of a possible future	
Focuses and builds on present capacities and strengths	Focuses on identifying problems and searching for solutions
Is a social architect	
Uses symbols, visions, and shared understandings to promote change	Uses strategic planning to promote change

In *Leaders: The Strategies for Taking Charge* (1985), Bennis and Nanus describe attributes of leader effectiveness. They interviewed ninety top leaders in private and public sectors and identified four areas of competency that all of these leaders embodied. They captured these competencies in four strategies that they offer for how leaders can empower organizations:

> Strategy I, ***attention through vision.*** The leader clearly articulates a compelling, results-oriented vision for the future that grows out of the needs of the entire organization. "Leaders are the most results-oriented individuals in the world, and results get attention. Their visions are compelling and pull people toward them."
>
> Strategy II, ***meaning through communication***. The leader influences and organizes meaning and interprets events for the members of the organization in a way that fosters creation of the vision. "An essential factor in leadership is the capacity to influence and organize meaning for the members of the organization."

Strategy III, ***trust through positioning***. Trust is created and subordinates accept the vision when the leader is "reliable and tirelessly persistent." The leader acts consistently with the vision, which creates trust in the leadership. Leaders communicate through actions their commitment to the vision. "Leaders acquire and wear their visions like clothes."

Strategy IV, ***deployment of the self through positive self-regard and through the "Wallenda Factor."*** It is important to have self-confidence and to maintain one's focus on the vision, not the obstacles. Like Karl Wallenda, the tightrope aerialist, leaders who use strategy IV "simply don't think about failure, don't even use the word." Mistakes are not considered failures because they lead to new learnings.

Characteristics of Outstanding Organizations

1. Vision. According to Bennis and Nanus (1985), "Vision animates, inspirits, transforms purpose into action." They offer a description by Jerry Neely of how a clear vision influenced daily functioning in Smith International, a major manufacturer of oil drilling and rigging equipment: "The employees were willing to take a chance because they felt part of something magic and they *wanted* to work that extra hour or make that extra call, or stay that extra Saturday."

While values (such as excellence, service, or creativity) can be abstract, vision must be a clear picture of the future that people are striving to create. Because the full depth and meaning of a purpose cannot be wholly conveyed by the words of charters and mission statements, successful organizations use the vision of a desired future to represent and communicate their purpose (Kiefer and Stroh, 1984).

2. Focus on Customer Satisfaction. In order to be effective, a vision must include images of quality and satisfied customers. Outstandingly successful businesses know that a successful end-result means satisfied customers (translated into customer loyalty).

A study by the Technical Assistance Research Program showed it costs five times more for a business to go out and get a new customer than it does to maintain a customer it already has. Tom Peters (1987) describes outstandingly successful grocer Stew Leonard:

> He says, "When I see a frown on a customer's face, I see $50,000 about to walk out the door." His good customers buy about $100 worth of groceries a week. Over ten years, that adds up to roughly $50,000. We all agree that repeat trade is the key to business success.

How does this translate to schools? Are public schools in danger of losing their customers? Certainly; it's happening right now!

Tom Peters, in *Thriving on Chaos* (1987), describes the following characteristics of outstandingly successful businesses:

- commitment to a vision
- obsessed with customer satisfaction
- workers empowered to act
- the structure supports the vision

3. Empowering People. Alignment by the individuals in the organization around the vision is what allows the organization to empower people. Kanter (1983) states that "one requirement for empowering people to reach for a future different from the past is a conviction that everyone in the organization is at least facing in the same direction." When alignment around a shared vision exists within an organization, "managing people" is easier because the goals of the individual are consistent with the goals of the organization. Therefore, it is easier to allow individuals to have more control and power. Kiefer and Senge (1984) state, "Where the best interests of the individual and the organization are highly aligned, empowering the individual becomes a key to empowering the organization."

4. System Integrity. Not only must the vision of all members be in alignment with the vision of the organization, but the organizational structure and systems (e.g., roles, hierarchy, policies, communication avenues, rewards and incentives, and accountabilities) also must be consistent with and in alignment with the vision. Allen and Kraft (1984) state, "It is productive to avoid creating environments in which people cannot succeed and then get blamed for failure."

The structures or systems of an organization include the roles and rules (e.g., responsibilities, who will do what and when); leadership, authority, and hierarchy; and norms and working ground rules, including how decisions will be made, who will communicate with whom and when, meeting times, and other aspects of group process.

Norms are the implicit and explicit expectations held by group members about acceptable group behavior (Schein, 1969) and exert a strong influence on people's daily lives within the organization. Allen and Kraft (1984) describe norms as "the building blocks of our cultures—those expected, accepted, and supported ways of behaving that determine so much of what we do." Focus on a clear, articulated vision for an organization facilitates the development of helpful norms for a group. According to Allen and Kraft (1984), Kanter (1983), and others, influencing norms is essential in any change process. "In successful cultures, goals and purposes are constantly kept in view as the change process gets underway in installing and sustaining positive norms" (Allen and Kraft).

Structures and systems aligned with the vision can prevent many problems. Commitment to continually reviewing and adapting the structure as needed can solve many if not most of the problems that do arise.

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ACTIVITY 1

Managing vs. Leading

The purpose of this activity is to explore the differences and similarities between managing and leading.

Step 1: Ask participants to form small groups (5-7). To spark discussion, distribute the handout "Let's Get Rid of Management." You may want to conduct the discussion as a whole group, or encourage each small group to begin discussion as you distribute the handout "Leading vs. Managing," the reading "Synthesis of the Business Research and Literature" if participants have not yet received it, and newsprint.

Step 2: Ask each group to read Handout 2 and read or recall the information from "Synthesis of the Business Research and Literature" and list on the newsprint the similarities and differences between leaders and managers.

Step 3: Allow each team to report out.

Step 4: (optional) Referring to the Figure "Organizational Emotions and Modes of Leadership" (found in the reading and on Handout 3), you may wish to project the overhead "Stages of Leadership" and briefly review and discuss the evolution of leadership as found in the literature.

Stage 1 represents "Scientific Management" of the early 1900s.

Stage 2 represents the "Two-Dimensional Models" that arose from the human relations movement of the 1950s.

Since the 1980s, **Stage 3** leadership, "Transformational Leadership," has been in the forefront of the business literature.

LET'S GET RID OF MANAGEMENT

People
don't want
to be
managed.
They want
to be led.
Whoever heard
of a world
manager?
World leader,
yes.
Educational leader.
Political leader.
Religious leader.
Scout leader.
Community leader.
Labor leader.
Business leader.
They lead.
They don't manage.
The carrot
always wins
over the stick.
Ask your horse.
You can *lead* your
horse to water,
but you can't
manage him
to drink.
If you want to
manage somebody,
manage yourself.
Do that well
and you'll
be ready to
stop managing.
And start
leading.

A message as published in the *Wall Street Journal* by United Technologies Corporation, Hartford, Connecticut 06101, as cited in Bennis and Nanus, 1985.

Leading versus Managing

It is increasingly clear that the United States is in the midst of a revolutionary change. More and more frequently the news media and leaders from all sectors of society cite major technological, scientific, cultural, and attitudinal changes our society and the world have embraced. We are in the midst of a "third wave," according to Alvin Toffler; a "new age" according to John Naisbitt. In his insightful and articulate description of the first *"megatrends,"* Naisbitt contrasts where we've come from to where we have emerged as an illustration of the profound nature of the change:

From	To
Industrial Society	Information Society
Forced Technology	High Tech/High Touch
National Economy	World Economy
Short Term	Long Term
Centralization	Decentralization
Institutional Help	Self Help
Representative Democracy	Participatory Democracy
Hierarchies	Networking
North	South
Either/Or	Multiple Options

It is in this context that our current quest for leaders can be understood. From the destabilizing and uncomfortable confusion of change, we yearn for leaders who see beyond the chaos, who can choose a direction, can forge ahead, are able to reassure us that the future holds promise, and can focus the energies of those who follow in ways that empower them to feel a sense of control over their lives.

LET'S GET RID OF MANAGEMENT

> People don't want to be managed. They want to be led. Whoever heard of a world manager? World leader, yes. Educational leader. Political leader. Religious leader. Scout leader. Community leader. Labor leader. Business leader. They lead. They don't manage. The carrot always wins over the stick. Ask your horse. You can lead your horse to water, but you can't manage him to drink. If you want to manage somebody, manage yourself. Do that well and you'll be ready to stop managing. And start leading.*

Corresponding to other major shifts is a shift in the study of leadership from a scientific, technique-oriented view (to isolate the leadership techniques that work best) to a naturalistic, holistic approach that recognizes the complexity of working within an entire system.

* A message as published in the *Wall Street Journal* by United Technologies Corporation, Hartford, Connecticut 06101, as cited in Bennis and Nanus, 1985.

Organizational Emotions and Modes of Leadership
Berlew (1974)*

	Stage 1	Stage 2	Stage 3
Emotional Tone:	Anger or Resentment → Neutrality	→ Satisfaction	→ Excitement
Leadership Mode:	CUSTODIAL	MANAGERIAL	CHARISMATIC
Focal Needs or Values:	Food Shelter Security Fair Treatment Human Dignity	Membership Achievement Recognition	Meaningful Work Self-Reliance Community Excellence Service Social Responsibility
Focal Changes or Improvements:	Working Conditions Compensation Fringe Benefits Equal Opportunity Decent Supervision Grievance Procedures	Job Enrichment Job Enlargement Job Rotation Participative Management Effective Supervision Management by Objectives	Common Vision Value-Related Opportunities and Activities Supervision That Strengthens Subordinates

* Berlew, David E. "Leadership and Organizational Excitement," in *California Management Review*. 1974, 17, 21-30.

Stages of Leadership

- **STAGE 1: Scientific Management**

- **STAGE 2: Two-Dimensional Models**

- **STAGE 3: Transformational Leadership**

ACTIVITY 2

Characteristics of Exceptional Leaders

This activity is intended to aid participants in identifying the characteristics of exceptional leaders and in beginning to see the role of leaders as visionary planners who combine the processes of planning for change with creating a common vision. This activity builds on the previous one and on the synthesis article.

Step 1: The activity begins by asking participants to think of the "best leader" they have ever known. This could be in any kind of setting (e.g., work, church or synagogue, sports, grassroots organization, volunteer) and from any time (e.g., when they were in Girl or Boy Scouts, on a youth team, or now).

Ask them to write everything they can remember about this person. How he or she behaved, the feelings projected, attitudes displayed, etc.

Step 2: (optional) In twos or threes, ask them to each share what they remember about this best leader. You may want them to develop a list of the common characteristics that emerged and provide each team a sheet of newsprint on which to record their lists.

Step 3: (optional) Allow each team to report out, again seeking to identify and capture commonalities that emerge across all groups.

Step 4: Distribute the handout and project the overhead "Characteristics of Exceptional Leaders." If you did Steps 2 and 3, note how similar their list of characteristics is. Ask participants to think of their own "best leader" and put a check next to the characteristics on the handout that describe that person.

Step 5: Distribute the handout "Rating Leadership Characteristics." Ask each participant to choose 2 or 3 acknowledged leaders in their school system and to write their names in the boxes at the top of the columns. Encourage them to select a traditional leader (e.g., principal, superintendent) and to consider someone who is not in a position of traditional authority. Ask them to write their own name in the last box. Next, tell them to check those behaviors that describe the person whose name is at the top of each column. There is space in each box to write one or two examples of how the person exhibits those behaviors.

Step 6: Again, in twos or threes, ask participants to share their responses with each other to discuss the implications. (You may wish to constitute groups so that members are unfamiliar with each other.)

Step 7: Ask each participant to review the rating sheet again, looking at their own behaviors, and to choose 1 or 2 behaviors they intend to change. Ask them to write a goal for each behavior.

Step 8: In their dyads or triads, ask participants to share their goals and to help each other make them SMART (specific, measurable, attainable, relevant, and with a timeline).

Characteristics of Exceptional Leaders

1. **Create a vision.** They have a picture in their minds of the end result they intend to create. This is the "big picture." They may not be clear about the specific goals and intermediate steps on how to get there, but they know what they intend to create. The picture clarifies the reason for the work that needs to be done (purpose/mission), the values embodied, and their underlying beliefs about themselves and human nature.

2. **Live their vision.** They act consistently with their vision from the moment they get out of bed to the moment they go to sleep. According to Bennis and Nanus, they wear their vision like clothing. In other words, the video matches the audio.

3. **Interpret events.** They attach meaning to events that allows them and others to move forward. Obstacles are seen as challenges. Mistakes are seen as opportunities for learning. They help themselves and others understand what's happening in a way that enables them to continue to move forward and not to be overwhelmed.

4. **Enroll others.** They talk about their vision all the time. They do not try to "sell" the vision but describe the vision so that it resonates with the values and needs of others. The leader describes the vision so that those who sign on are those who are truly committed.

5. **Empower others.** When those who sign on are truly committed and when they have developed the necessary skills, leaders are then able to empower them to act independently. Leaders know that in order to make their vision a reality, they must mobilize others and then empower them.

6. **Have a systems perspective.** They maintain a view of the "big picture." They always look at events in terms of the vision and don't get embroiled in details that cause them to lose their perspective. For example, they don't "play favorites."

7. **Create supporting structures.** They ensure that policies, procedures, hierarchies, practices, norms, and channels of communication in the organization are consistent with the vision and don't trip people up. For example, people have the power to make decisions. They also help others identify the necessary resources (e.g., time, money, people) to get the job done.

8. **Take risks, challenges.** Like Karl Wallenda, they cannot imagine failure so they are not afraid to take risks and try new approaches. They view obstacles as challenges. They embrace change.

9. **Celebrate milestones; have fun.** They take time to identify and celebrate successes along the way. They enjoy what they are doing, and even though they work hard, they also can lighten up and be playful.

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Characteristics of Exceptional Leaders

- **Create a Vision**
- **Live Their Vision**
- **Interpret Events**
- **Enroll Others**
- **Empower Others**
- **Have a Systems Perspective**
- **Create Supporting Structures**
- **Take Risks, Challenges**
- **Celebrate Milestones; Have Fun**

Rating Leadership Characteristics

Names:				
1. Creates a vision				
2. Lives his/her vision				
3. Interprets events				
4. Enrolls others				
5. Empowers others				
6. Has a systems perspective				
7. Creates supporting structures				
8. Takes risks, challenges				
9. Celebrates milestones; has fun.				

ACTIVITY 3

What Business Are You (Really) In?

This activity gives participants an opportunity to examine how the concepts of outstanding organizations relate to schools in general and to their school system in particular.

Step 1: Distribute the handout "What Business Are You In?" Allow participants time to read it and to write their answers to the three questions at the bottom of the handout.

Step 2: Ask participants to share their responses with one or two others.

Step 3: Ask each group to report out. Record their answers on a single newsprint (or one newsprint per question), noting similarities and differences in their answers. Try to come up with a generally agreed upon summary statement to answer each question, but don't squelch concuring or dissenting opinions. The purpose is not to reach consensus but to help participants think about their "business" from a different perspective.

What Business Are You In?

"The Law of the Situation" is a term coined by Mary Parker Follett, the first business consultant in the United States. Her client, a window shade company, was floundering. The company's thinking was narrow and limited: "We produce window shades." When pressed with the question, "What business are you really in?" they discovered they were actually in the light control businesses. This opened up new opportunities for thinking and producing.

What Business Are You Really In? Think about it from your customer's perspective. People who buy window shades really want to control the amount of light coming through their windows. There are many possible ways to control light.

When you begin thinking from your customer's viewpoint, you can begin to see your business in a new light and more creatively meet your customers' needs. AT&T has successfully transitioned from its break-up by recognizing it is in the "communications" business not the "telephone" business. The railroads might have survived if they had realized they were in the transportation business. Then they could have responded appropriately to the changes in technology and offered services that moved goods and people in the most efficient way. It might have meant offering a combination of train, air, and truck services.

In the space below, write your answers to the following:

1. What service does your business offer?

2. What do your customers want?

3. What business are you really in?

ACTIVITY 4

"Upside Down" Organizations

This activity builds on the customer focus discussion of Activity 3 by looking at how successful businesses turn the traditional hierarchical structure upside down in order to support customers, who sit at the top of the structure. The concluding section of the article "Synthesis of the Business Research and Literature" provides background for this Activity.

Step 1: You may wish to present the information in the "Upside Down Organization" handout or distribute it to the participants and then briefly discuss major points using the overhead transparencies for this activity. Special emphasis should be made of the point that when you turn the organizational pyramid upside down, *your* customer is the person who reports directly to you.

Step 2: In small groups (5-6 people), ask participants to discuss and prepare to report on the following:

1. Who are the customer-contact people in your schools? Who are the middle managers? Who are the senior managers?

2. To what extent is it important for schools to invert the pyramid?

3. What policies, practices, procedures, attitudes, and norms are operating or would operate in a school system that has inverted the pyramid?

Step 3: As groups report out, most are likely to note that: As most schools are currently structured, the external customers are children and parents. The customer-contact people are teachers and support people (e.g., secretaries, aides). Teachers and support staff are the internal customers of the principals. The customers of the superintendent's office are the district's schools.

Upside Down Organizations

According to Tom Peters, outstandingly successful organizations create "upside down organizational structures." Typically organizations have been set up like the pyramid model below. Management is at the top of the organization, while key customer-contact people reside at the bottom. The key customer-contact person's primary responsibility is to satisfy management rather than to satisfy the customer. The result is an organization that obstructs customer service and customer satisfaction. Furthermore, the customer-contact people, who know the customers best, are not empowered to make decisions about how to respond to customer needs.

Customers

Outstandingly successful companies turn the pyramid upside down. They place customers at the top; accordingly, the customer-contact person then moves to the top of the organization. Now it is the job of management to be responsive to the customer-contact person, and it is the job of the entire organization to be responsive to the customer.

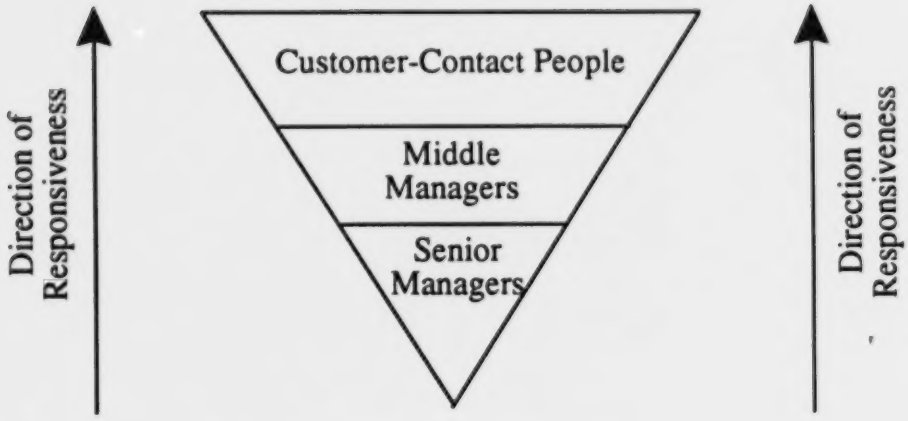
Customers

The Typical Pyramid

Customers

The Inverted Pyramid

Customers



ACTIVITY 5

Creating a Vision for Your School

The purpose of this activity is to provide the impetus for participants to begin to articulate and state a vision in which people in their school could enroll. Obviously, there are many ways to provide that impetus, e.g., guided imagery, and many ways to configure participants, from individual reflection to same-school teams working together. At this point in the workshop, we assume you have a good sense of what will best meet your participants' needs, and we offer the following as one alternative:

Step 1. Project overhead 1, "Characteristics of Outstanding Organizations," to remind participants that commitment to a vision is a strong factor in organizational success. These characteristics are:

1. All members passionately committed to a shared vision
2. Focus on customer satisfaction
3. Empower members
4. Create upside down organizational structures

As appropriate, you may wish to share some of Tom Peter's thoughts on each of the four characteristics (from *Thriving on Chaos*, 1987):

1. They are passionately committed to a customer-oriented vision. Workers in the business are aligned around that vision. They are clear about what business they're in, who their customer is, and the role each person plays in achieving the vision.

2. They are obsessively focused on their customer. They hustle in service to their customer. They create total customer responsiveness.

3. They empower workers in the business to act. They train workers in necessary technical and managerial skills and they push responsibility for decision-making down through the organization in order to provide the best possible service to the customer. They achieve flexibility by empowering people.

4. They create "upside down organizational structures." Policies, procedures, practices, attitudes, and hierarchies support the realization of the vision. They understand that their "internal customer" is the person who reports to them.

Step 2. Distribute the handout "Realizing Your Vision (Part 1)." It can be used either as the basis of a presentation or you may allow participants enough time to read it and then briefly summarize it. Highlights are the power of a vision, the key components of a vision (purpose, values, beliefs, and image of end-result), and how goals relate.

Step 3. Ask participants to work in dyads. First one and then the other should ask her or his partner, "What really excites you about the work that you do? What's really important to you?" The asker then listens and reflects back what is heard and asks clarifying questions only. After 3-5 minutes switch roles.

Step 4. In the large group ask for a few people to share what they said and/or how the experience felt. Highlight that passion comes from connecting our work with what we value and believe in. Passion sustains our commitment when willpower fails.

Step 5. A vision is crystallized and powerful only after it is put into words. For this final task participants will begin to form their vision into words. Ask participants to reflect on previous activities and review their notes as necessary. Then using a blank sheet of paper, have them write the first draft of an "I Have a Dream" speech. Begin it, "I have a dream that one day . . ."

Step 6. Suggest that each participant share her or his speech with someone else—either by reading it aloud or asking another to read it. Same-school teams may want to share their speeches with each other and then stay together for activity 6.

Characteristics of Outstanding Organizations

1. **All members passionately committed to a shared vision**

2. **Focus on customer satisfaction**

3. **Empower members**

4. **Create upside down organizational structures**

Realizing Your Vision (Part 1)

Jesse Stoner

MANY EXECUTIVES AND consultants use the word "vision" freely, and yet few people are clear about what this term means.

A vision is a clearly articulated, results-oriented picture of a future you intend create. A vision focuses on the end-results and values, not on the specific means of getting there. A vision is a picture of the whole that illustrates the meaning and purpose, the values behind your work, and why you do it. A vision is the crystallization of your needs, desires, values and beliefs.

Vision comes from your own desires and values. Creating a vision is not a matter of merely forecasting the future. A vision originates from your inner sense of purpose and is generated by your creative energies.

Bridging Present & Future

A vision mobilizes. It generates passion because it is value-based. When your vision resonates with your values and beliefs, it generates energy, excitement and passionate commitment.

Vision = Purpose + Values + Beliefs + Image

Purpose. Vision illuminates purpose — the reason for existence around which your daily activities revolve. A deep sense of purpose gives meaning to life. The more clearly focused your purpose, the more clearly related your goals.

Values. Vision illuminates values — what's really important to you. By clarifying and connecting what you value to your vision, you create the passion that enables you to maintain your focus in the face of obstacles. Passion will pull you through when will-power is not enough. Instead of asking, "What *should* I do?" you must ask yourself, "What's really important to me? What do I *want* to do?"

Beliefs. Vision illuminates beliefs — what you believe is possible, about yourself and the world. You are the most important aspect of your vision. Your vision comes from who you are. How you regard yourself and others determines the grandeur and expanse of your vision. If you have a poor self-image, if deep inside you don't believe that you have the abilities or that you deserve what you want, either you will create a vision that is less than what you really want and deserve or you will subconsciously undermine your efforts in achieving your vision.

Honestly examine your belief systems. When you create a vision, you must believe it can be actualized; otherwise, you will be running the race with one foot nailed to the floor. Ask yourself: What do I believe about mistakes? Are they to be avoided and punished? Or are they opportunities for learning? Is this a world of obstacles or one of challenges? Should others be empowered because they have the ability and the right to grow?

Some people create a vision that is expansive: a vision that goes beyond their personal needs to include a vision for others, the environment, or the world. These people believe that although the vision may not be completely realized in their lifetime, it is a legacy which they know will come to fruition at some future point if others join in. Therefore, first enrolling others and then empowering them is essential.

Mental Imagery. A mental image is a picture in your mind, and such imagery can produce powerful results. More than positive thinking, creating a mental image focuses energy and lets you know what success looks like.

As a technique, mental imagery began with Soviet athlete training in the 1970's. In the 1976 Olympics, the Russians won more gold medals than any other country, stunning the world. Originally, sports training involved "mental rehearsal," visualizing one's performance during the competition. Most recently, trainers help the athlete visualize, not just the event itself but, a symbol of success: standing on the podium receiving the gold medal. The image is of the end-result; the process for achieving it is not necessarily clear. Creating a mental image of any goal facilitates its attainment.

Vision vs. Goals

Goals determine your activities — which will lead to realization of your vision. Goals are the markers that herald your progress toward your vision. Goals are the signposts along the way to let you know you are moving in the right direction. Goals have time-lines.

Goals answer the questions "what?" and "how much?" — rather than "why?" (which is addressed by your vision).

Too often, people set goals without being clear about their values and beliefs. For example: to earn a lot of money to buy things they don't want to impress people they don't like. When their goals are not obviously related to their values and beliefs, they end up feeling fragmented, unsure of the purpose of their activities. And when they do finally achieve the goal, they don't feel satisfied.

A vision is a clearly articulated, results-oriented picture of a future you intend create.

By developing a vision, you connect your values and beliefs with your goals.

When you develop a vision before setting goals:

- You develop goals that clearly evolve from your values
- Your activities are congruent with your values
- Your goals are proactive rather than reactive
- You may end up with goals you never even considered before

Goals are powerful when they contain an image of the end-result. However, these goals often do not survive beyond the influence of the person who created them. When a charismatic personality creates an image, others may "sign-on," but only as long as that charismatic person continues to describe the image. Because the image is fundamentally connected to the values and beliefs of the leader only, the followers do not sustain the image once the leader has departed.

Another difference between a vision and a goal is that once the goal has been achieved, future direction is not clear. The goal is an end unto itself.

An example of a vision is Martin Luther King, Jr.'s "Dream." His purpose was to create a world where all people live together in mutual respect. In his famous "I Have a Dream" speech, he described a vision of what that would look like. The underlying values are clear: freedom and brotherhood. His dream resonated with the needs and values of those involved, provided a direction, mobilized large groups of people, and continues to influence others beyond his lifetime.

In contrast, President John F. Kennedy articulated a goal for the Apollo Moon Project: to put a man on the moon by 1969. Although this statement is in the form of a results-oriented picture, it does not clarify the purpose or underlying values. Was the purpose to beat the Russians? to develop new weapons bases? or to boldly go where no man has gone before? Consequently, since the time that this goal was achieved, NASA has demonstrated neither clear direction nor outstanding performance.

8 Guidelines

Here are eight guidelines to help you develop and realize your vision:

- Focus on what really matters to you. Ask, "What do I want to do?" not "What should I do?"
- Don't limit yourself by what you may think is possible. Remember, a vision can overcome what initially seem like insurmountable obstacles.
- Focus on your vision in the present rather than the future. See it happening now.
- Focus on the end result rather than the process for getting it.
- Be proactive, not reactive. Move toward what you want rather than away from what you don't want.
- Don't be constricted in the face of current "realities."
- Give yourself permission to explore, to dream. Be creative. Be playful.
- Spend some relaxed time dreaming and imagining: What will be the results; what will be accomplished; what will those accomplishments look like; how will I see myself; how will others see me; how will I feel about myself; how will I feel about others; what values will be embodied.

Once you have developed your vision, choose it. Write it down. Put it in a prominent place. Talk about it. Make a commitment. There is power in commitment. It is the first step in the journey.

Whatever you can do, or dream you can, begin it. Boldness has genius, power, and magic in it.

— Goethe

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ACTIVITY 6

Action Planning

This closing activity provides an opportunity for participants to plan their next steps. These steps will vary from one person to another depending, in part, on their current reality as well as how well they feel they've articulated a vision that others in their school can share.

Step 1. Distribute the handout "Realizing Your Vision (Part 2)." You may use it as the basis of a presentation or allow participants enough time to read it and then briefly summarize it. The overhead "Vision Realization Process" highlights the steps:

1) Create a vision
2) Analyze current reality
3) Maintain creative tension
4) Create system integrity

Step 2. Remind participants that they have spent some time in the workshop not only stating their visions (Activity 5) but also analyzing current reality. During Activity 2, they looked at current leadership styles of themselves and others. During Activity 3, they examined some of the structures in their school system.

Now is the time to think of what their next steps should be. Some may be ready to begin the process of creating a shared vision for the entire school or school system by sharing their vision and/or encouraging others to share theirs. Some may need to take a harder look at current reality in terms of policies, practices, and procedures to see if they are supportive of a customer-focused vision. Some may want to make conscious changes in their leadership style.

Step 3. After participants have identified some next steps, ask them to write each step in terms of a SMART goal (specific, measurable, attainable, relevant, with a timeline).

Step 4. Ask participants to form dyads and to share their goals with each other. They should check each other's goals to be sure they are SMART and then revise or refine their goals as needed.

To wrap up the activity and the workshop, you might invite each participant to quickly share one "aha" with the group. An "aha" could be something new that struck them as important, it could be something they already knew, but they were reminded of its importance. We also encourage you to distribute and ask participants to complete the response form found in the introduction to this module.

Realizing Your Vision (Part 2)

Jesse Stoner

[Once you have created a vision,]

I suggest the following four principles for going from current reality to new frontier.

Analysis of Current Reality. After developing a vision, examine the realities of your present situation: your current attitudes and beliefs about yourself, others and the world; operating norms; skills; habits; your physical abilities and health; support systems; resources; procedures; how you spend your time; anything that influences the path you take. What are the driving forces and restraining forces that maintain the status quo operation?

When you create a vision, you must believe it can be actualized; otherwise, you will be running the race with one foot nailed to the floor.

Honestly describing current reality is important for two reasons: 1) you identify systems and structures that need to be altered; and 2) you create the motivation for change. The vision is the light ahead, the beacon. Current reality is the brushfire behind.

Creative Tension. Whenever you maintain a focus on current reality and on your vision, tension is created. This is called creative tension because it forces realization of the vision.

Tension seeks resolution. There are two ways to resolve the tension: 1) to give up on the vision by deciding you really don't want it, that it's impractical or that it's not possible; or 2) to realize the tension is necessary and to decide to live with the tension. In this way, you continue to be realistic about current reality and you maintain your focus on the vision.

Although the tension may feel uncomfortabie, it is the driving force of your vision. By accepting the tension, ultimately you will resolve it in favor of your vision.

System Integrity. In addition to developing a vision, you must create systems and structures that support your vision; set goals; determine methods of implementation; develop resources; set priorities regarding time, money, health, habits, other people; and make plans. If you don't know where you're going, any path will take you there. Your vision is your destination. System integrity is what keeps you on the path.

Obstacles. Once supporting systems are in place, you must deal with the obstacles you encounter along the way. At times, it won't be as fun as you thought it would be or maybe more physically demanding than you thought it would be. Events and forces beyond your control can cause change unexpectedly. These are all obstacles.

The real problem with obstacles is that most people concentrate so hard on removing the obstacle that they lose their focus on their vision. Their primary motivation changes so that removing the obstacle becomes their primary goal. The vision gets lost.

When you encounter an obstacle it is important to:

- Maintain your focus on your vision
- Set a new course if an obstacle throws you off course
- Be prepared to change your goals, if necessary
- Be flexible
- View "change" as desirable, not something to be afraid of
- Find a way to describe what is happening as a "challenge" or "opportunity"
- Remember how sailboats reach their destination — by tacking.

Visionary leadership can be developed. Great leaders are not born, they are made. And it offers a perspective that solves the argument of which is better — manager or leader — because it presents a viewpoint that there are two sides of the same coin.

When leadership is viewed from a vision perspective, some important concepts emerge. Successful leaders understand that true power comes from giving up control (empowering others). They understand that we each shape our own destinies, that we are each the primary creative force in our lives. Although we work with existing forces, our sense of reality is determined by the meaning that we ascribe to events. Successful leaders generate a sense of meaning in the organization that supports the creation of the vision and the underlying values. And they understand that an incredible amount of power is generated by a group of people who share a common belief, vision, or definition of reality. They view leadership as the attempt to kindle, develop, and shape the potential power of the group. **EE**

Jesse Stoner-Zemel, Ph.D., is an associate of Blanchard Training & Development and a specialist in Visionary Leadership (203) 521-9655.

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Vision Realization Process

Create a Vision

Analyze Current Reality

Maintain Creative Tension

Create System Integrity